Workforce Management and Development in the California Courts

Succession Planning and Management Guide

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ADMINISTRATIVE OFFICE OF THE COURTS

HUMAN RESOURCES DIVISION

Contents

Overview

Staffing projections for the California Courts show the potential retirement of up to 75% of executive and managerial staff in the next decade. The loss of these staff in such a short period of time will cripple the effectiveness of the judicial branch, unless adequate steps are taken to prepare a new generation of knowledgeable and skilled leaders. The purpose of this guide is to help Courts and other judicial organizations conduct effective succession planning and management in order to ensure leadership continuity throughout the Branch.

Demographic trends also show that retirement will affect almost all levels of court positions and that there will be more competition for available workers in the labor market overall. Courts must therefore be proactive in identifying future staffing needs, developing the skills and knowledge of potential successors, and building careers that will be attractive to skilled professionals and future leaders.

What Is Succession Planning and Management (SP&M)?

<table>
<tr><th>What SP&M Is</th><th>What SP&M Is Not</th></tr>
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A regular, on-going planning process to anticipate position vacancies and develop a <u>pool</u> of candidates to fill vacancies upon need
Focus is on developing talent to ensure bench strength in the organization and includes:

Assessing candidate readiness for future positions,
Identifying development needs for candidates and positions, and
Providing guidance and support to increase capabilities of leaders to meet organization needs.

Overall, succession planning ensures there is a skilled bench of leaders and professionals always being prepared to meet the Court’s future performance needs
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A narrow exercise limited to “replacement planning”, i.e., choosing only one person to replace another person
Waiting until someone leaves to decide what is needed in that position or to look for a replacement
A narrow staffing or training program that addresses only one facet of the organization’s future leadership needs:

Approaching succession planning as merely “more training”
A static process that gets reviewed once a year and sits on the shelf the rest of the time
Hiring or promoting to fill a position vacancy without looking at the broader pool of candidates and the impact on other positions

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What is Required for Effective Succession Planning & Management?

To be effective, the succession planning and management process requires:

1) A commitment to action on Succession Planning & Management (SP&M) by the CEO and senior managers, treating it as important as financial and operational requirements;

2) Competency models that provide a blueprint for high-performers now and in the future;

3) A functioning performance management system that measures individuals against the competency models;

4) An individual developmental planning process that addresses the gaps between current competence and performance and future competence needed; and

5) A measurement method that assesses how well the succession process is functioning over time.

A clear understanding of performance strengths and weaknesses is absolutely critical in building a strong "bench" and in developing skills to ensure readiness. This understanding helps managers build viable candidate pools comprised of high potential employees ready to take on greater responsibility or challenge. As a result, the most effective organizations have integrated performance management and succession planning, ensuring that the regular performance management process supports the assessments and discussions used in the SP&M process. The result is that employees receive more consistent feedback and opportunities, with minimal redundancies. The remainder of this guide will discuss further these critical requirements in the process.

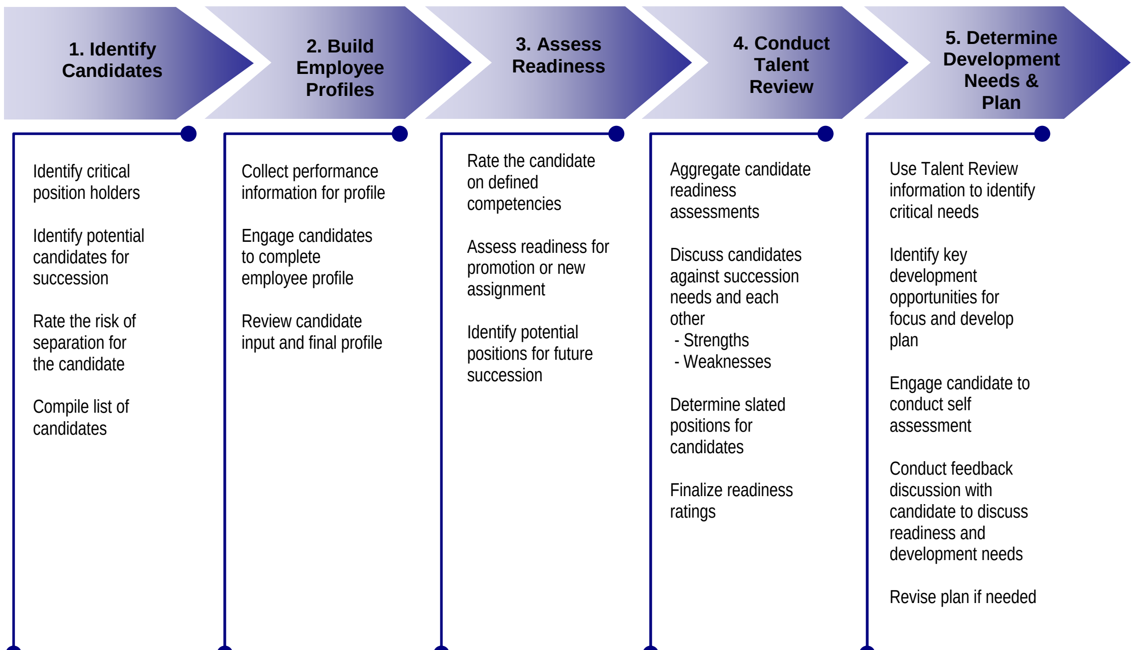
Who is Responsible for Succession Planning & Management?

The answer to this question is the same as: who is responsible for running the organization? The lesson here is clear: line management (i.e., CEO and management team) must own the process, with HR playing a supporting role. Line managers are by far in the best position to identify and develop talent within the organization and therefore, must be responsible for succession. In a support role, HR should provide standards, tools, and processes, working as a sounding board and facilitator to support managers. Succession planning works best when CEOs hold line management accountable for developing a strong bench of future leaders, while actively role modeling these behaviors themselves.

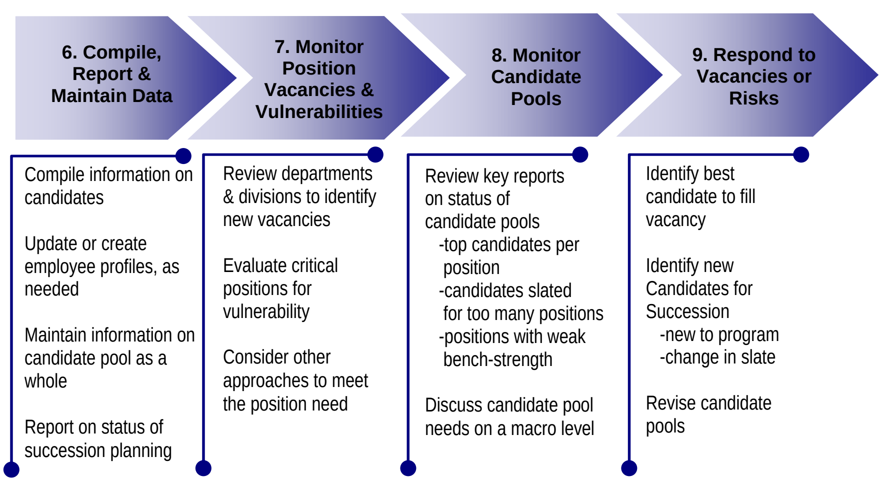
What are the Components of Succession Planning & Management?

The SP&M process for the branch is comprised of two key components: Planning and Management.

The ***planning process*** is conducted once per year. It identifies which individuals should be included in a candidate pool and evaluates each individual's readiness and development needs for assuming a new role. The outcome of the planning process is a "pool or slate" of individuals, who can be used to fill future positions and whose development is the priority in building the courts' bench strength.



The ***management process*** occurs on an ongoing basis throughout the year. This process involves evaluating position vacancies and needs, evaluating the strength of the candidate pools, and determining the best way to deal with a position vacancy. Some vacancies will be filled with the best-qualified candidate from the pool. Others may be filled with a high potential (but inexperienced) candidate or involve restructuring the position or changing the timing of when it is filled.



This guide focuses on providing managers and judicial leaders with the specific steps, instructions, and considerations needed to execute the succession planning & management process. All parties involved in the process should use it as a reference. The appendices contain the tools, handouts, and extra tips referred to throughout the guide, designed to help management complete each step in the process. While this guide has been specifically written for use in the courts, it can be applied to any department or unit seeking to implement succession planning and management.

Please note that reference to the “branch” in this guide refers to the California judicial organization as a whole.

1. *Identify Candidates for SP&M*

1a. Identify the key positions and their incumbents to be included in the process

The purpose of SP&M is to ensure a supply of qualified staff for the most critical positions in the Court. All critical positions, and the incumbent staff in those positions will be included in this process. Critical positions are defined as those that are:

- Most essential to the functioning and health of the branch now and in the future,
- Difficult to fill, and
- Central to the primary function of the court

CEOs evaluate all positions within their scope of authority to develop an initial list of the critical positions in their court. Consider carefully which positions are most critical to the functioning of the court and therefore would pose a problem if the Court were unable to provide that function.

- CEOs communicate this initial list to their management and solicit input from them to ensure that all appropriate positions are considered.
- After discussion, confirm the final list of positions and identify the current incumbents in those positions.

As a general starting point, court management (CEO to Supervisor) positions should be included, as well as professional positions that have essential knowledge critical to the organization. Courts should determine the right number of management levels to include, based on their size, so that the number of positions and incumbents is manageable for the SP&M process. The total number of incumbents could be as small as two to four in a small Court or as large as twenty to forty in a large Court. This number will evolve going forward, as Courts gain experience and needs and strategic direction change.

1b. Identify non-incumbent candidates for succession to be included in the process

Bench strength cannot be built by evaluating only those holding critical positions. It matters less what role an individual currently holds, and much more the talent and capability demonstrated for future needs. To cast as wide a net as possible for our candidate pools, talent must be identified in a variety of roles in the branch and thereby included in this process as potential candidates for succession.

To start, evaluate each of your direct reports and determine whether you believe they have the potential to effectively fill a critical position from the list identified in step A1.
If you have employees reporting to you through others, then consult with those who can best provide input on the employee's potential.

- Be sure to focus on the employees' true potential for the future. Remember that an excellent courtroom clerk may not possess the competency to be an excellent manager; and likewise, a courtroom clerk who is an average performer in that position may still have great leadership potential. Identify those individuals who have potential to move into a critical position.

- Develop a list of additional candidates that is limited to those with the very best potential. Remember that you will be developing employee profiles for each of these candidates and investing time and effort into this succession planning process for them. While there is no limit to the number of high potential employees a manager may have, be sure to differentiate performance and potential during this exercise and limit the list to those with the most realistic potential.

1c. Rate the risk of separation for the candidate

An essential part of succession planning understands the risk that a current incumbent or high potential employee might retire or leave the organization. Estimating separation risk helps to illustrate the critical position vacancies the court will likely face as well as to identify retention interventions necessary to retain high potential candidates needed for the future. Effective planning involves knowing the status of both critical position holders and those in line to succeed them.

How

Determine the candidate's risk of separation using the following scale. You will document your rating and the reason for that rating on both the employee profile and readiness assessment, discussed later in this guide.

- High = the candidate is at risk of leaving the organization within the next 12 months due to clear and known factors, such as retirement eligibility, dissatisfaction with work environment or management, or known personal issues.
- Medium = the candidate may be a risk of leaving within the next 12 months, but there are not any known pressing factors that would cause the candidate to leave, e.g., retirement eligibility, job dissatisfaction or personal issues.
- Low = the candidate is generally not at risk of leaving the branch and it is known or understood that the candidate intends to remain with the organization for at least the near term.

1d. Compile list of candidates

How

Prepare one integrated list of the positions identified as critical, the current incumbents in those positions, additional non-incumbent candidates, and the risk of separation for each.

- Prepare to develop employee profiles and readiness assessments for each.

2. Build Employee Profiles

The *employee profile* is at the center of the SP&M process and must be developed for every candidate included in the process. The employee profile contains all critical information for the candidate that is necessary for subsequent steps in the SP&M process, including readiness assessment, talent review, and development planning, and therefore must be completed in order to launch the process. The Profile is a “snapshot” of each candidate that provides a common way to understand their background and to compare them to other candidates.

2a. Collect candidate performance and compensation information for the profile
Discuss and get input from AOC on how to handle this

Identify any performance information available on the candidate for the past three years, specifically, a performance rating for the candidate that indicates an overall assessment of performance for that year.

- Depending on the performance management process utilized in your court, you may have a variety of performance information to consider (e.g., 360 degree, employee survey, competency assessments)
- If an overall assessment of performance is not available, then use the available performance information to make a determination of overall performance in the profile. This performance information will be needed to augment the competency assessment that will be regularly conducted as a part of the SP&M process.
- If the performance management process already incorporates assessment of the competencies used in the SP&M process, then the most recent competency ratings should be used for the competency assessment, discussed further in the next section.

Collect the candidate’s compa-ratio from Human Resources (Compensation).

- The candidate’s compa-ratio reflects where the candidate is currently compensated within his/her salary range and indicates whether the candidate’s salary is above or below the mid-point of the range.
- If your Human Resources does not utilize compa-ratios in their compensation analysis or does not utilize a salary structure (ranges), then do the following:

Do not utilize Compa-Ratios	Do not utilize Salary Ranges
▪ Calculate the compa-ratio yourself using the following formula: ▪ Annual salary / Mid-point in the salary range ▪ A compa-ratio of 1 indicates that the candidate is paid the mid-point of the range; anything over a 1 means the candidate is paid over the mid-point and anything less than 1 indicates the pay is below the mid-point.	▪ Input the candidate’s salary instead of the compa-ratio * Note * Doing this will create the need for significant confidentiality of this document

The compa-ratio is an important and useful tool when evaluating candidate's for a position. The ratio enables management to readily determine where candidates are currently compensated. It further enables a manager to quickly identify whether salary will be a potential issue in the placement to a new position, based on the offered salary for that position.

2b. Engage the candidate to complete the employee portion of the profile

This is an extremely important part of the process because this is when the candidate is first notified that he/she is a participant in SP&M and asked to help build his/her profile. The candidate is an important participant in this step as the best source of information about themselves and their experiences. Involving the candidate ensures that any existing HR data is accurate, fills in missing pieces, and helps to establish the dialogue about performance, potential and future development.

Meet with the candidate in person to explain the profile and its purpose.

- Explain the effort that management is making to organize important information about high performing employees to be used for development and career planning.
- These profiles, as well as other tools such as competency assessments and development planning, will assist management in understanding employee preferences and capabilities for the future.
- Remember to avoid making any commitments to the employee and emphasize that the profile provides helpful information only; job preferences indicated in the profile will be captured and reviewed, but cannot be promised.

Ask the candidate to complete the following sections of the profile.

- Basic Demographics
- Relocation and Position Preferences (court, region, branch)
- Job information (current and previous work history)
- Education and credentials
- Specific skills (technical, language etc.)
- Relevant Development History

The relocation and position preferences should be identified during discussion between employee and manager. The manager should help the employee understand all of the opportunities that may be available in the future and ask the employee to consider all relevant locations. As a result, the employee should identify both *position* and *location* preferences, including assessment of the employee's willingness to relocate.

The job information should briefly list the internal and external positions held, the start and end dates for the position, and the company name and location, if external.

The education and credentials should identify any degrees held, completion date, area of focus or study, and name of school or institution.

The specific skills should identify any related skills that may be meaningful to the court, including computer skills, other technical skills, and language fluency. Language skills should include the degree of proficiency among speaking, writing, and reading.

The relevant development history should identify any course work, training program, assignment, or role that the employee conducted or performed in the ***past three years***. The profile will ask the employee to identify the development activity, date, and any other specifics such as school, institution, or department.

2c. Review candidate input and compile profile

If the candidate's preferences were not discussed earlier, then discuss the preferences now. Review the candidate's input and ensures the responses are accurate and complete.

Compile the performance, risk rating, and compa-ratio information into the profile. Each candidate now has a standard profile to use as background in assessing readiness for future responsibilities.

3. Assess Readiness

The purpose of this step is to assess the readiness of current incumbents and other candidates to fill critical positions and to assume greater responsibility, either now or in the future. Each manager will use this readiness assessment in discussion of candidates during the Talent Review session, discussed in the next section.

3a. Rate the employee on the defined competencies for his / her level; ask the employee to complete the competency self assessment

Specific competencies have been identified as critical for success at various levels in the court. Assessing each candidate on these competencies is important to get a baseline of competence and for discussion. These competencies will be meaningful input to your determination of the candidate's readiness to assume new responsibility.

Rate the candidate, using the Competency Assessment Form, on each required competency for the candidate's level.

- Refer to the definitions and rating scale provided on the competency assessment form for information on assessing each competency.
- If the defined competencies are already integrated in your performance management process and have been completed this year, then use the competency assessment already completed.

Provide a competency assessment to the candidate to complete as a self-assessment. The candidates should be instructed on how to rate themselves on each competency and submit the completed competency assessment to you, as the manager.

Once completed by the candidate, review the candidate's ratings and your own ratings with the candidate.

- Discuss any discrepancies in ratings and the reasons behind them.
- When finished, make any changes to your ratings that you believe are warranted and finalize your competency assessment.
- Be prepared to bring your competency assessments to the Talent Review session for reference.

3b. Rate the candidate's readiness to assume greater responsibility

Using the Readiness Assessment Form, determine the candidate's readiness level and indicate which of the following 5 categories best describes the candidate:

Ready Now	Ready for promotion or new responsibility (0 – 12 months)
Ready Later	Ready for promotion after some further development (1 – 2 years)
Hi-Po Requires Development	High potential requires development before readiness can be determined (2+ years)
Hi-Pro	Highly professional employee to retain in current or lateral position but not slated as a candidate for promotion
Unslated	Candidate is not aptly suited for succession planning process

- Differentiate candidates further by distinguishing between excellent performers who are best suited in the role they currently hold from those high potential employees who could move further in the organization.
- Identify the key strengths and weaknesses of the candidate that influenced your readiness rating. Indicate the strengths and weaknesses on the Readiness Assessment Form and be prepared to discuss these in the Talent Review session.

3c. Identify potential positions for future succession

Use the candidate's preferences and competency assessment to identify potential future positions for this candidate.

- Depending on the candidate's preferences, you may indicate one specific position in different locations or unique positions in the same or varying locations.
- Identify the potential positions on the Readiness Assessment Form, and be prepared to make recommendations in the Talent Review session.

4. Conduct Talent Review Session

A Talent Review Session is a structured and objective evaluation of the strengths, weaknesses, and developmental priorities for a group of candidates nominated for succession. During a Talent Review Session, a group of managers reviews a slate of candidates for succession. This review should be completed in a 3-4 hour session, occurring at least once a year. Candidates for succession are reviewed terms of their level of readiness for promotion, strengths, weakness, and developmental priorities. The following objectives are critical to an effective talent review session.

- Identifying the pool of critical positions that require successors
- Understanding the strengths, gaps, and developmental priorities for those candidates identified as future successors
- Obtaining insight from other managers about the potential and readiness of employees to assume new roles, regardless of current division, department, or role

4a. Aggregate Candidate Readiness Assessments

How

Prior to the talent review, managers should assemble the employee profiles and readiness assessments for each candidate and submit them to the Talent Review Session Coordinator. The manager should be prepared to discuss the key strengths, weaknesses, level of readiness, and developmental actions for each candidate on their slate.

- The Talent Review Session Coordinator will assemble a binder that contains copies of this information for all candidates who will be discussed in the talent review.
- This binder will be distributed in advance to all managers participating in the talent review session and should be reviewed prior to the session.

4b. Discuss candidates against succession needs

In this step, managers present their candidates and collect feedback from the group regarding potential fit with future vacancies, possible developmental opportunities, and readiness levels. The most important part of this discussion is the debate about candidates, which results in consensus and a more complete and realistic understanding of candidate capabilities.

How

Discuss the following areas during the Talent Review Session:

- Review Critical Positions – The full group of managers will briefly discuss those positions chosen as critical and future requirements and risks for those positions. This discussion sets context for discussing individual candidates, future staffing needs driven by attrition, and internal movement.
  - Identify objectives such as increased diversity, improved competency, more rotation of people, etc.

- Present Candidates for Succession – review each candidate on the slate for readiness level, strengths, weakness, and developmental priorities. Other managers will challenge or supplement this information using their own experience with the candidate.

- **Discuss the Slate of Candidates as a Whole**
  - Discuss the results of talent assessments across the court
  - Summarize the readiness ratings for the slate (e.g., list the names of those who are Ready Now, Ready Later, etc on a chart for all to see).
  - Discuss individual cases to clarify their placement, increase awareness of individual capabilities and performance, or to compare/contrast among individuals

- **Discuss Position-Employee Fit** – discuss those positions that are most likely to need new successors soon and the best candidates to fill those roles, now and in the future
  - Evaluate whether or not the court has the right talent across the organization that will match changing requirements (focus more on pools of talent, including long-term high potentials –and less on individual position successors)
  - Discuss whether external recruitment will be needed to fill gaps that internal development may not meet

- **Discuss Developmental Approaches** – using the list of all candidates, determine strategies for development for the group as a whole that will ensure readiness to assume possible vacancies.
  - Identify if appropriate developmental plans are in place to build needed capabilities and to provide the job experiences, education, and other learning experiences individuals need

Discuss the success of past development activities and what steps are needed to implement the planned education, project or job assignments

Remember to capture relevant notes and discussion points for each of your candidates.

4c. Finalize Readiness Ratings

How

Upon completion of the discussion, make any resulting changes to the assessments of candidates and confirm the readiness ratings for this review period.

- Managers are required to re-submit updated profiles to the Talent Review Session coordinator immediately following the session
- The Talent Review Session coordinator will collect all final readiness ratings and update the completed list accordingly
- Once all profiles have been submitted, developmental planning & feedback discussions should occur

5. Identify Development Goals and Action Plan

The goal of development planning is to understand the employee's current strengths and gaps, and then to set goals and a plan of action that will prepare him/her for future roles. The process does not have to be time-consuming, but the quality of effort significantly affects the results achieved. Completing the development plan requires a partnership between the manager and the employee. Managers must provide honest and constructive feedback, using both oral and written communication techniques, in order to build trust and motivation that will help to develop the leaders of the future.

5a. Identify critical development needs & set goals

The manager and employee should work together in this process but with different roles. Employees take ownership for summarizing information and preparing their own development plan (so it's personally meaningful to that employee). This includes referring to their self-assessment and the previously completed profile to help guide their thinking around future developmental planning. The manager provides input from the talent review session, serves as a sounding board and suggests resources and actions from his/her broader frame of reference.

The manager should discuss the outcome of the talent review session with each candidate and provide them with the appropriate context for how to think about their future development.

- Managers should be careful to share information only for that particular candidate (not others) and to focus on information that is constructive. Do not share confidential information. If there was discussion of the candidate's weaknesses during the talent review, be honest but constructive in framing this to the candidate.
- Managers should share the "List of Developmental Actions" (see Appendix 2) with the candidate as a reference for planning.
- Managers should also provide the candidate with some examples of what might constitute a "good" developmental goal, given the candidate's current skill set and the priorities of the court.

The candidate then begins formal planning by writing down ideas about what development needs are most important, and the development goals that will help meet those needs.

- Review business requirement information from both the court overall and the employee's division/department: strategy documents, performance objectives, anticipated organizational changes, required competencies or roles.
- Review information from competency assessment (if available), performance evaluations, talent review sessions (if available), and the employee's profile.
- Identify themes in the information, particularly strengths and gaps in personal capabilities. Identify organizational needs and opportunities that might be particularly important or interesting to the employee.
  - These could be areas that are of emerging importance to the Court, that are necessary for career progress, or that are "holes" in the employee's experience.
- Identify the broad career direction desired over the next three or more years.

- This could include job content (e.g., criminal, civil), job level (e.g., Division Director), or key experiences (e.g., project assignment).
- Identify a “critical few” (perhaps one, two, or not more than three) behaviors or capabilities as development goals and note them on the Development Planning Form.
- These should generate some passion for the employee, as personally and professionally significant.

5b. Create the development plan

Working from options presented in the Appendix 2: List of Development Actions, the employee selects development options that will best accomplish the employee’s goals and lists them with the appropriate timing on the Development Planning Form.

- Emphasize work assignments as the primary development approach. Use approaches that involve learning from others next most often, and training as the third category of development actions.
- The employee should identify 3-4 developmental actions each and be prepared to discuss how these actions will help to achieve the developmental goals established in the previous step.
- The employee should also identify an appropriate schedule to monitor progress on achieving each developmental goal.

5c. Conduct feedback discussion with candidate to discuss development plan

Prepare for delivering effective feedback to the candidate. Some recommendations to help you prepare include:

- Review the objectives of the assignment/work period for which you are providing feedback, and think about how your employee’s performance ties into the overall strategic objectives of that assignment and the objectives set out for the individual.
- Remember that feedback should not be a surprise. It should be a summation of feedback given throughout the period being evaluated.
- Contact your HR representative if you have questions or need guidance. If you are going to be delivering particularly difficult feedback, it often helps to have a dry run with someone else before you conduct the “real” session.

Conduct a meeting with the candidate to finalize the development goals & plan. This discussion should promote self-awareness, acceptance of the agreed upon development goals, and readiness to participate in development actions and plan moving forward.

- Schedule a meeting with the candidate to discuss the plan
- Use the candidate’s version of the Development Planning Form as a structure for the discussion. It is usually most effective to focus on the draft goals & developmental actions the candidate has creased as the starting point for the discussion. The Manager should then refer to his or her own notes for inputs on how to finalize the goals & plan.
- Once the discussion has occurred, the manager should instruct the candidate to integrate all inputs, finalize the plan, and submit a final copy back to the Manager.

- A copy of the Developmental Planning Form should also be sent to HR for compiling.
- Each feedback discussion should end with immediate action steps for both the Manager and candidate to get started on the agreed upon developmental priorities.

Feedback is the cornerstone of our people's development. The succession management process and tools were created to facilitate the delivery of that feedback. Feedback and employee development planning should be a positive activity. It is an opportunity to help people understand how they can further develop within the organization. People are the court's most valuable resource – communicate this to them… effectively and often.

But, what gives people the most satisfaction when they look back at their careers? For many, it is the challenges they personally mastered and the people they helped to grow along the way. Invest the time in your own development, and invest it in helping your colleagues. At the end of the day, it is your most important work.

Succession Management

In contrast to succession *planning* (which occurs once per year), the succession *management process* occurs on an ongoing basis throughout the year. This process involves assembling, maintaining, and reporting information for successors and critical positions, as well as responding to vacancies and risks as they arise. The main benefit of succession *planning* is to create a detailed snapshot of the leadership bench at one point in time. The main benefit of succession *management* is to regularly update that snapshot as things change during the year, and to act on the information in order to fill vacancies and regularly improve bench strength.

This section of the guide describes those activities that should occur as courts institutionalize the succession planning & management process. The instructions are designed to provide guidance, but are not as prescriptive as the succession planning steps, since each court has a different approach to data management, reporting, monitoring, and measurement of performance.

6. Compile, Report, and Maintain Data

The final slates and readiness information that results from the talent review session are the initial sources of information for all reporting, but this information changes over time. Incumbents leave critical positions, the status of candidates' or their preferences change (e.g., quit, go on disability, take different position) and new talent is brought into the process. Information must be regularly updated and reported for use in management.

6a. Maintain information on each candidate

Store the talent review profile and readiness information for each candidate in a database or filing area that can be accessed by both the candidate's manager and the Talent Review Coordinator (or CEO designate for that role).

- Ensure that the information is updated regularly throughout the year to include progress on the development plan and changes in the candidate's readiness status (e.g., due to job change, impending retirement).
- Updates could be made by the manager or other authorized person, either when changes occur or on a periodic schedule (e.g., quarterly review of candidate pool).

6b. Update or create employee profiles, as needed

As employees are identified as high potential and current candidates have changes, update the profile to reflect these changes and submit for reporting

- New profiles will need to be created on an as-needed basis as new employees join the courts or other additional employees are added to the SP& M process
- Regular updating should occur as part of the planning process, including updating new readiness ratings, risk ratings, and development needs
- Each manager or supervisor should maintain new employee profiles and be prepared to launch the subsequent planning activities when launched by the court

6c. Maintain information on candidate pool as a whole

To document changes that occur during the year for the pool as a whole, update the summary information from the talent review.

- The CEO should designate a coordinator to collect and aggregate the changes for each candidate and critical position on a periodic (e.g., quarterly, semi-annual) basis.
- This coordinator then uses this information to update the summary from the talent review, using the metrics discussed below (including the addition of new candidates as appropriate).

6d. Report on status of succession planning

The courts and branch as a whole should decide on the frequency of reporting needed for effective monitoring of the succession pool (e.g., monthly, quarterly, or semi-annual reporting). The courts and branch must also decide the key information needed by management to make informed decisions and understand the current status of the succession pool. At a minimum, the courts should consider reporting on the following:

- By Position – current slate
- By Candidate – all slates [what does this mean?]
- Readiness Status – candidates plotted by readiness
- Org Charts – for Tiered impact of slate [Isn't this redundant with by position?]

The central coordinator updates and generates new reports as needed to support the management processes

- Define the needed reports
- Define the tools and infrastructure available to support the generation of reports
- Determine the schedule of reporting and feedback needed on disseminated reports
- Solicit feedback on the reports to ensure SP&M needs are being met and the reports are useful
- Ensure there is clear support to the Coordinator for developing and maintaining the reports

7. Monitor Position Vacancies and Vulnerabilities

Position vacancies occur throughout the year, as incumbents in critical positions retire, quit or leave the organization. Vulnerabilities occur as well, when there is advance notice that vacancies may occur in the near future (e.g., due to job dissatisfaction from a re-organization or a decision by several incumbents to retire at the same time). This step is fluid and ongoing, as vacancies will need to be filled in real-time as needed. As a result, it is important to think of this step as one that occurs regularly and simultaneous to the planning and management processes discussed in this guide.

7a. Identify and report new vacancies

Managers and supervisors should report vacancies to senior management as soon as they become aware (e.g., are notified by an incumbent of plans to retire).

- Report to senior management the upcoming vacancy, when it will occur, and the reason for the vacancy
- Identify whether the position is still critical and whether requirements for the position have changed since it was last evaluated
- Review slate of candidates previously identified for the position and recommend to senior management which of these candidates are best qualified to replace the incumbent

7b. Monitor critical positions for vulnerability

Managers should monitor the critical positions in order to identify any warning signs that a candidate may be planning to leave

- Applying the risk criteria in the planning process, determine if any vulnerability exists due to known or suspected commitment issues
- If vulnerability exists, identify the reason(s) and potential action steps to improve the retention of the candidate or prepare for retirement

Report the risk and any candidate slate issues for the position (e.g., lack of candidates or readiness) to senior management / CEO and the coordinator for the SP&M process.

- Senior management will compare these vulnerabilities to information from the regular review of the status of candidates and positions
- The advance notice of vulnerabilities provides valuable time to try to avoid and prepare for the potential vacancy

7c. Consider other ways to address the work need besides straight replacement

Managers often develop a knee-jerk reaction when they are faced with losing or potentially losing valuable talent and jump to the conclusion that they have only one choice: replacement. While all of succession planning and management is intended to improve bench strength and the pipeline within the organization, it is critical to broaden our thinking and consider other approaches to meeting the need. There are many ways to get the work done.

Generate a list of all the approaches you can think of to get the work done

- Consider streamlining work processes, automating work processes, outsourcing the work, and shifting responsibilities to others including other departments, agencies, or suppliers, or tapping the retiree base on a contract basis.
- Consider restructuring or eliminating the position if the work could be done as well or better (and perhaps at lower cost) by making these changes

Analyze the situation and select the best approach to meet the need

- Evaluate the situation to determine the strengths and weaknesses of each approach
- Prepare a recommendation for senior management that outlines two or three options for dealing with the open position, including your analysis and recommendation of which option to choose
- If Senior Management makes a determination to fill the position, then proceed to step 9

8. Monitor Candidate Pools

The slates or pools of candidates must be regularly reviewed to ensure an adequate pipeline is being developed for court needs. This regular review consists of assessing the strength of the slate, the needs or weaknesses in the slate, and specific actions to address the needs before critical vacancies cripple the courts.

The candidate pool evaluation is intended to be a broad, comprehensive effort to assess overall strength and health of the pools. It is therefore important to evaluate pools collectively, and on the macro level, in order to take an effective strategic view.

8a. Review key reports on status of candidate pools

The SP&M coordinator produces reports for this evaluation based on a schedule defined by the courts. The coordinator disseminates reports to the appropriate management, including such things as:

- Top candidates per position & level of readiness
- Candidates slated for too many positions
- Positions with weak bench strength (or few candidates)
- Vulnerable Positions

Review the reports received and make notes identifying issues and points for discussion

- Evaluate the general level of readiness for each critical position and identify positions without a ready candidate
- Evaluate this with the vulnerable positions to identify specifically where vulnerability = lack of readiness
- Identify critical positions with few candidates in the pipeline
- Be prepared to discuss your findings at the candidate pool discussion

8b. Discuss candidate pool needs on a macro level

Once the branch determines how it wants to organize candidate pool discussions, these groups will meet on a regular basis to conduct these discussions. Because this discussion is at the macro level and intended to evaluate the strength of the pools as a whole, it is important to ensure the right management attendance. In some cases, these discussions can occur as an opening to the Talent Review Session, but should also happen periodically throughout the year.

Organize the meeting to ensure the right attendance and most effective review of the reports / materials

- Consider all options to conducting the meeting; including in person and conference call formats to ensure the discussion takes place in the most convenient and efficient way
- Organize the agenda to walk through the reports in the most meaningful order and format

Facilitate the meeting through a discussion of the critical elements discussed earlier in step H1.

- Ensure a facilitator is assigned to take responsibility for the time management and consensus building during the meeting
- Inform the audience in advance of the meeting structure and how the discussion will be held
- Solicit each attendee's input and comments as appropriate for the meeting structure
- Identify specific actions required to address the issues or gaps identified in the meeting
- Ensure the meeting closes with consensus on the actions to be taken, desired timeframe, and owner for each action item

9. Respond to Vacancies or Risks

9a. Identify best candidates to fill vacancy

As vacancies arise, you should fill the need as soon as possible and do so on an as-needed basis. If the appropriate planning and management steps have been taken, this step should be a seamless and efficient one.

Identify the best candidate to fill the need and present it to the CEO for the vacant position and, if the best candidate is from a different court, the CEO for the candidate.

- Senior management is aware of the position slate and therefore should be prepared for this vacancy action enabling quick approval and action to replace
- Immediately identify the subsequent candidate to fill the newly vacated position and continue this process as needed

Communicate the replacement decision(s) to the affected candidates and their departments

- If the vacancy is a surprise, then immediate communication is needed to prepare the replacing candidate and his/her department
- If the vacancy is due to a planned retirement, then preparation should have been in the works and the candidate generally prepared for the change; communication in this case will be less urgent.

Negotiate the effective replacement date between managers, or courts if applicable

9b. Identify new candidates for succession

Identify new candidates to be added to the process as individuals are identified as high potential performers or as successors assume new roles.

- Candidates may develop as a result of being new to the court or specific function and should be added to the process as soon as possible, on an on-going basis
- As vacancies are filled, significant changes in the slates is likely and therefore must be regularly assessed to identify new candidates. Unexpected changes in the slate could spark needed discussion for other slate changes
- Candidates may change their personal preferences and should be given the opportunity to update their preferences on their profile as regular development and planning discussions occur

9c. Revise candidate pools, as needed

Submit any slate changes to the SP&M central coordinator

- Courts should submit their changes to the coordinator to ensure the desired changes are reflected on all reports and materials to be used in the upcoming talent review session
- These changes will be discussed broadly in the next talent review session, where such changes are approved and finalized

Appendix 1: Facilitating Talent Review Sessions

The facilitation of talent review sessions is the most critical step in the overall succession planning & management process. It is the time for managers and court leaders to discuss resource allocation & needs, identify those employees who have potential for obtaining future roles, and discuss developmental opportunities that exist for high potential talent across the court.

Talent reviews help identify leadership gaps across the pool of candidates. Plans are then developed to use "work assignments" and other developmental activities to fill these gaps while addressing business needs. Managers have the responsibility to present the development action plans of their candidates during a talent review session. They also communicate with the candidates regarding the outcome of the talent review and whether individual developmental plans should be refined as a result (see developmental planning& feedback section).

Most Talent Review Sessions will be conducted annually as part of the effort to manage succession across the courts. In order to conduct an effective session, the following roles, responsibilities, and activities must exist.

Roles	Responsibilities
Session Facilitator	- Provide the structure necessary to discuss all candidates in an organized manner - Provide oversight for all aspects of meeting set-up, documentation, timing, location, agenda, and follow-up - Be familiar with the candidates profile being discussed - Ensure the group discusses all candidates - Manage the meeting such that all opposing views are shared constructively and issues debated with positive tone - Act as the integrator across managers from differing units, departments, or courts
Session Coordinator	- Taking guidance from the facilitator, coordinate all aspects of meeting set-up, documentation, timing, location, agenda, and follow-up - Ensure that all employee profiles have been collected in advance of the session and have been compiled into a single document for use during the meeting - Collect all updated profiles once the meeting has occurred and Managers have finalized their readiness ratings
Manager(s)	- Complete all candidate profiles in advance of meeting - Be prepared to share high-level points for each candidate & solicit input on cross-functional developmental opportunities - Own development activities and tracking for those candidates presented - Act as sponsor / advocate for slate of candidates - Document potential changes for employee profiles resulting from the discussion - Gather insights from other managers and use them to create/modify developmental plans
Session Chairperson	- Guide "strategic" discussions related to workforce needs within the courts overall - Help to identify those positions that are critical to the court; requiring future successors - Provide a "realistic" perspective regarding feasibility of development options and work to ensure readiness levels meet the succession demands of the court overall - Assist managers in determining appropriate readiness levels and identifying possible positions for candidates for succession

In most cases, the Session Facilitator should be a representative from local HR or the AOC who is familiar with the California Judicial Branch Succession Planning & Management process and has been a part of Talent Review Sessions in the past. The facilitator role is critical to a successful session and it is imperative that the facilitator be an expert regarding workforce management & development practices. Similarly, the role of the Chairperson is to provide a realistic perspective regarding future succession needs, feasible development opportunities, and appropriate readiness levels to meet succession demands across the court. This role ought to be a more “senior” member who has broad responsibility to ensure continuity of talent within the court.

Appendix 2: List of Developmental Actions to Consider

As discussed in the guide, development actions fall into three categories: work assignments, learning through others, and training and are prioritized in order of effectiveness. The following sections offer suggestions for choosing developmental actions that will have the greatest impact on future leader effectiveness.

WORK ASSIGNMENTS

The most important resource for developing employees is experience working on challenging jobs and project assignments. Work assignments have been found to be more effective than any other form of development and are a preferred option for meeting developmental goals. The suggestions below describe how to effectively match an employee's development needs with the right assignment.

Principle #1 Take the Long View

Anticipate position vacancies

- Forecast attrition and be prepared to fill vacancies promptly
- Take advantage of the chain effect triggered by every job reassignment.

Anticipate needs for developmental assignments and create opportunities for developing others

- Don't wait for positions to become vacancies -- seek ways to unblock positions for new developmental assignments – through organizational changes, talent swaps, and work redesign/reallocation.
- View job assignments as project assignments – always temporary and in flux.

Principle #2 Search for the Right Capabilities

Divisions/departments and group managers must look across the court's talent pool for capabilities needed to meet anticipated business opportunities and organizational changes (e.g., look across divisions for certain projects and assignments)

- Identify leaders qualified for the assignment
- Identify leaders who gain the most developmental benefit from the assignment

Principle #3 Analyze Assignments & Capabilities Together

Traditionally, companies filled jobs with the best-qualified leader, often up through a succession of promotions within a function or business unit. To accelerate development and promote innovation and change, one must look at assignments and the development needs of leaders together.

- How can we leverage the capabilities and experience of a leader while also providing new experiences needed for development?
- What are the developmental features of an assignment?

Rather than filling an assignment with the most qualified leader, internally or externally, adapt the role to provide a challenging new experience that will further another leader's development.

Principle #4 Communicate with Candidates

Discuss possible future assignments openly with the leader

- Discuss the pros and cons of possible assignments
- Indicate the likelihood that each may materialize – based on the factors you know are relevant; identify these factors
- Discuss why targeted assignments are filled (by other leaders)
- What were the capabilities required – the decision factors?
- Was this leader considered? What feedback is relevant?
- What are the implications for the leader's development plan and likelihood of future assignments?
- How did the assignment match the leader selected (qualifications, matches a development need, etc.)?

Shown on the next page is a table with numerous examples of potential work assignments. The manager and employee should use this table as a reference to create meaningful work assignments that directly aid the employee in achieving a developmental goal.

Enhancements to Job Content or Scope: Potential Work Assignments

Changes in Job Content	**Small Changes in Job Scope or "fix-its"**
__ Lead the installation of a new system __ Lead organizational restructuring or process redesign __ Help out with staff recruiting on a campus __ Manage a group of former peers __ Manage a group where the people are expert, and you are not __ Manage a situation requiring turnaround in performance __ Manage a group in a rapidly expanding operation __ Manage a group in a static situation, develop new ways to approach the work	__ Act as an Advisor / Mentor to a group of inexperienced people __ Manage terminations and outplacement __ Lead a task that is entirely outside of one's experience __ Resolve conflicts among team members __ Develop a contingency plan for an aspect of the business __ Help to integrate systems across units __ Provide inputs and support to a project in another unit or function __ Serve on an advisory board or committee __ Teach a course or workshop __ Design a training course
Small Strategic Assignments	**Address Business Problems or Opportunities**
__ Summarize a new idea, trend, or technique to others __ Write and champion a proposal for a new system, product, approach, or service area __ Conduct a customer survey on a particular issue or concern __ Develop a presentation for a senior executive __ Lead the development and implementation of a new policy __ Evaluate the impact of training, determine changes required __ Lead a study team and present proposed actions to management __ Re-engineering a process, especially across organizational units/functions	__ Reduce administration costs, inventory costs, etc. __ Project to evaluate, plan, and implement a new operational improvement, alliance, or vendor relationship __ Strategic planning (e.g., analysis, environmental scanning, scenario building) __ Deal with a business crisis __ Troubleshoot problems with a key customer or partner

The objective is to structure work assignments to meet the employee's developmental goals while also accomplishing something important for the business. Some examples of the development possible from work assignments include:

- Broader geographic experience
- Accountability
- Stretches the person's comfort zone
- High stress, performance pressure (e.g., scope, deadlines, few resources, heavy travel)
- High visibility to senior management or outsiders
- Major strategic challenge, intellectually difficult
- New project management or technical skill

LEARNING FROM OTHERS

"Learning from others" development includes coaching and mentoring from others with experience and expertise in areas important to leadership effectiveness. This type of coaching is of particular value when combined with work assignments, because it allows feedback and learning in real world situations.

Learning from others works well because it can be tailored to the individual and carries significant emotional impact. There is nothing like working with another person who you really respect to motivate and direct effective development. Learning from others is generally divided into two types: coaching and mentoring. Both have advantages and are valuable if used for the right purpose.

Coaches provide personalized, objective assessment, feedback, and suggestions. These are sometimes very difficult to get from a direct supervisor; however, it is important that the coach operate in a way that supports the partnership between the employee and his/her manager. The coach should help the employee better understand him/herself and gain ideas and motivation for the development goals established by the employee and manager.

TRAINING

The third major category of developmental actions is training. Training includes both external education programs and the Court's own internal education (court-specific or AOC sponsored). It also includes self-study material, either printed or via the Internet.

The branch's curriculum offers the advantage of content tailored to the business strategies of the Branch overall. This internal training also provides a great opportunity to meet and network with colleagues from different areas of the Judicial Branch. Information about available offerings can be found by contacting ______________.

External education provides access to leading edge business developments and to peers from other organizations who can share their approaches and ideas. Offerings range from full MBA curricula to more targeted business or technical topic conferences (e.g., Judicial Administration programs). Information about the branch's recommended offerings are available at ________________.

Historically, many people viewed training as the first choice for effective development, and training continues to be valuable if used properly. It is especially effective for the intellectual components of leadership: technical knowledge or business context. When properly designed, training can also help develop new behaviors that can be applied in the workplace. The weakest point of training, however, can be application. Training will often not impact job performance unless it is integrated with job assignments and learning from others. Therefore, a development action plan should always position training to link with these other development approaches.

Appendix 3: Hints for Providing Feedback

Feedback is important because it provides people with important guidance regarding their performance. This insight helps improve their effectiveness and grow professionally, which ultimately contributes to the success of the courts and the branch overall. Employees generally want to receive feedback on how they are doing. Most people want to advance in position as well as in responsibility, and they can't accomplish either without honest, candid feedback discussions. Additionally, recognition is important so that people know they are performing effectively and that the courts value them. When good performance is recognized everyone benefits.

Delivering <u>Written</u> Feedback

When it comes time to write an evaluation, consider the following tips:

- Keep things simple, honest, objective and concise.
- Always cite specific examples of performance strengths and areas for development.
- When identifying performance problems, attempt to identify the source as well.
- Suggest solutions to identified issues.
- Consider the following questions:
  - What were this individual's achievements on this project/assignment?
  - What strengths did he/she exhibit? In what areas can he/she improve?
  - What resources or support does he/she need in order to achieve development objectives?
  - Was this individual appropriately challenged on this project/assignment?
  - Was this individual able to achieve reasonable Work Life quality while on this assignment?

Delivering <u>Verbal</u> Feedback

The actual feedback meeting is often the most difficult part of giving feedback. The following suggestions may make it a little easier:

- Formulate your thoughts before meeting with the individual.
- Separate the individual's performance into three distinct areas, and discuss one at a time:
  - **Continue** – things the individual does well and should continue to do
  - **Start** – new behaviours the individual should begin to adopt in order to enhance performance
  - **Stop** – things the individual should stop doing because they are ineffective, or counter-productive
- Keep the discussion fact-based and on-track; opinion-based statements are more subjective and are open to interpretation.
- Ask the employee to respond to different points you have made, and then listen to the answer.

Typically, feedback should include both positive as well as constructive comments. Note that constructive commentary does not necessarily equate to negative performance. Sometimes the most effective and helpful feedback centers on opportunities to continue to develop and grow. Developmental feedback can also be used to help people set realistic personal and career planning goals.

Providing Positive Feedback

It is very important to congratulate employees when they deliver a strong performance. Positive reinforcement encourages the individual to continue to deliver quality performance in the future and helps to make clear the connection between their performance and the success of a project, assignment or event.

Often, managers make the mistake of assuming that because an individual performed exceptionally well on a project or work assignment, it is not important to offer developmental feedback. In fact, this is usually the best time to inquire about developmental needs the individual may have. Ask them questions like:

1. What challenges are you looking for in the future?
2. Are there capabilities that you would like to further develop? What are they?
3. What can I do to help you further develop?

Providing Constructive Feedback

Delivering constructive feedback is essential to the growth and development. When delivered appropriately, honest performance feedback, even of a negative nature, can be some of the most helpful guidance you have to offer your people.

There is a real art to giving constructive feedback so that the individual not only hears what is being said, but also agrees to work on the issue(s), and is motivated to change to produce the desired results. Some suggestions for constructively passing on criticism:

- **Deliver the feedback in a timely manner.** If feedback is to be effective, it must happen shortly after an instance in which the behaviour was initially observed. The longer feedback is delayed, the less impact it has on the individual.

- **Get straight to the point.** Sugar-coating difficult feedback is counterproductive. Usually, it only serves to push the important information into the background, and may even confuse the person. Direct and honest delivery is key. Most people appreciate sincere, straightforward feedback.

- **Maintain a calm, professional approach.** People are more open to feedback when it is presented in a calm environment. If the discussion becomes heated or emotional, and you are not able to return to a rational discussion, stop the meeting and suggest that the conversation be continued when the individual has calmed down.

- **Be specific.** Focus in on the precise behaviours the individual should strive to change, versus communicating a vague generalization that he or she did a poor job. Make sure the individual can act upon the feedback – i.e. make sure it is within their power to alter the behaviour.

- **Keep it objective.** Feedback must be based on factual evidence, and not on unsubstantiated hearsay. If the feedback is not based on things that can be seen, heard or measured, you risk having the listener become defensive and “shutting you out”. Gather supporting factual information before meeting with the individual and stick to these facts in your discussion.

- **Focus on solving the issue.** Work together with the individual to develop a solution to the problem, rather than merely demanding improvement. Actively involve them in a discussion to try to get to the root of the problem (the cause), and brainstorm about how to avoid in the future.

- **Act supportive.** Set a tone that lets the individual know that the feedback is intended to help them to grow and develop, rather than to assign blame or to punish the individual.

- **Listen.** Make sure that you allow the staff person to respond to the points you have made, and really listen to their responses. Do not interrupt them.

California Judicial Branch Management & Leadership Competency Definitions

Core Cluster	Competency Definitions
<u>Leading Change:</u> The ability to develop and implement and organizational vision that integrates key judicial branch and local court goals, priorities, values, and other factors. Inherent to it is the ability to balance change and continuity-to continually strive to improve customer service and program performance within the basic branch of Government framework, to create a work environment that encourages creative thinking and to maintain focus, intensity, and persistence, even under adversity.	*Continual Learning*—Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self-development; seeks feedback from others and opportunities to master new knowledge. *Creativity and Innovation*—Develops new insights into situations and applies innovative solutions to make organizational improvements. Creates a work environment that encourages creative thinking and innovation; designs and implements new or cutting –edge programs/processes. *External Awareness*—Identifies and keeps up to date key state, federal, and local policies and economics, political, and social, and labor market trends that affect the administration of justice. Develops near-term and long-range plans and determines how best to be positioned to continue the work of the court. *Flexibility*—Actively seeks relevant data and new information; adapts behavior and work methods in response to new information, changing conditions, forced change, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution. Is a proponent of change. *Service Motivation*—Creates and sustains an organizational culture which encourages other s to provide the quality of service essentials to high performance. Enables other to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions to effective administration of justice. *Strategic Thinking*—Formulates and aligns effective strategies consistent with the business strategy of the judicial branch and local court. Examines policy and process issues and strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats to continued performance or opportunities for organizational improvement. *Vision*—Takes a long-term view and acts as a catalyst for organizational change; builds a shared vision with others. Influences others to translate vision into action.

California Judicial Branch Management & Leadership Competency Definitions

Core Cluster	Competency Definition
<u>Leading People:</u> The ability to design and implement strategies that maximize employee potential and foster high ethical standards in meeting the organization's vision, mission, and goals.	*Conflict Management* – Identifies and takes steps to prevent or mitigate situations that could result in unproductive and unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact. *Leveraging Diversity*—Recruits, develops, and retains a diverse high quality workforce in an equitable manner. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Seeks out and effectively utilizes individual differences to achieve the vision and mission of the branch. Develops and uses measures and rewards to hold self and others accountable for achieving results that embody the principles of diversity. *Integrity/Honesty* –Demonstrates mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others, and demonstrates a sense of responsibility for the reputation of the branch and commitment to public service. *Teambuilding* –Motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. *People Development* —Identifies and utilizes the full potential of staff and recognizes this as a key element of successful execution of strategic goals and objectives. Stretches employees in their growth and provides challenging opportunities for learning. Puts plans into place, monitors activities, provides ongoing constructive feedback and celebrates successes. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.

California Judicial Branch Management & Leadership Competency Definitions

Core Cluster	Competency Definition
Results Driven: The ability to stress accountability and continuous improvement, to make timely and effective decisions, and to produce results through strategic panning and the implementation and evaluation of programs and policies.	*Accountability* – Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Ensures that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans, focuses on results and measuring attainment of outcomes. *Customer Service*—Balances interests of a variety of constituents; readily readjusts priorities to respond to pressing and changing customer demands and broader social issues. Promotes public trust and confidence by the consistent, accessible and fair delivery of quality products and services; demonstrates commitment to continuous improvement of services. *Decisiveness* – Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even when data are limited or solutions produce unpleasant consequences; demonstrates a proactive and achievement-oriented approach. *Problem Solving* – Identifies and analyses problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems. *Technical Credibility*—Appropriately applies procedures, requirements, regulations, and policies related to specialized expertise within the context of court administration. Makes sound hiring and capital resource decisions and effectively address training and development needs. Connects and aligns administrative actions with achieving the goals and objectives of the branch.

California Judicial Branch Management & Leadership Competency Definitions

Core Cluster	Competency Definition
Business Acumen The ability to acquire and administer human, financial, material, and information resources in a manner that instills public trust and accomplishes the mission of the judicial branch and the local court, and to use new technology to enhance decision making.	*Strategic Thinking/Planning* – Formulates and aligns effective strategies consistent with the business strategy of the judicial branch and local court. Examines policy and process issues and strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats to continued performance or opportunities for organizational improvement. (*x-r leading change*) *Resource Management* – Identifies and leverages internal and external resources attain short-term and long-term goals. Engages in workforce management and development; develops strategic alliances that allow pooling of resources and/or economies of scale. *Human Resources Management* – Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded, using technology applications when appropriate. Implements processes by which individual performance is aligned with achieving organizational goals and objectives; takes corrective actions as appropriate. Implements processes and procedures to reduce risk and liability associated with personnel management. *Financial Management* – Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area, using technology when appropriate; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting. *Technology Management*—Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision-making. Evaluates the impact of technological changes on the organization.

Core Cluster	Competency Definition
Building Coalitions / Communications: The ability to explain, advocate, and express facts and ideas in a convincing manner, and negotiate with individuals and groups internally and externally. It also involves the ability to develop an expansive professional network with other organizations, and to identify the internal and external politics that impact the work of the organization.	*Interpersonal Skills*—Identifies and responds appropriately to the needs, feeling, and capabilities of different people in different situations. Demonstrates tact, compassion and respect for others. Gains the cooperation of others to accomplish goals. *Oral Communication* – Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication. *Partnering* –Develops networks and builds alliances, engages in cross-functional activities; collaborates across organizational boundaries, and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases. *Political Savvy* – Identifies the internal and external politics that impact the work of the organization. Approaches each problem situation with a clear perception of organizational and political reality; recognizes the internal and external impact of alternative courses of action. *Written Communication* – Expresses facts and ideas in writing in a clear, convincing and organized manner. *Influencing Others/Negotiating* – Moves others to belief, position, new thinking or course of action as appropriate. Builds consensus and facilitates "win-win" situations. Presents logical, well-reasoned, sound arguments to persuade others of preferred directions or decisions. Vigorously pursues and wins support and resources for his/her ideas and programs. *Public/Community Relations* – Interacts with and maintains positive relations with a broad range of individuals and groups that are relevant to the court's interests (e.g., governmental bodies, customers, press, community leaders, and the general public).

Competency Assessment Form – Court Management

(Sample from Pilot Court Work)

Candidate Name:

Date:

Location/Division:

Manager Name:

Current Readiness Level:

Current Position:

Competency Assessment Summary:

LEADING PEOPLE	Rating: Performing
BUSINESS ACUMEN	Rating: Performing
LEADING CHANGE	Rating: Performing
RESULTS DRIVEN	Rating: Performing
BUILDING COALITIONS / COMMUNICATIONS	Rating: Performing

(Sample Definitions Document Prepared by Pilot Court)

Competencies:		
LEADING PEOPLE- critical elements for entry-level middle managers Integrity/Honesty Team Building Conflict Management	The ability to **design and implement strategies** that maximize employee potential and **foster high ethical standards** in meeting the organization's vision, mission, and goals.	Rating: Performing

Developing	Performing	High Performing
Integrity/Honesty: ▪ Acts honestly and fairly in all dealings with others ▪ Keeps promises and maintains confidences although may not have earned the trust of peers and subordinates ▪ Understands and acts in accordance with court values ▪ Accepts responsibility for mistakes, takes action to avoid similar situations	▪ Accepts responsibility for own actions, even when the outcome is not desirable for oneself ▪ Remains objective in situations and values treating people fairly ▪ Maintains the trust and confidence of others by being candid when there is a problem ▪ Takes a personal stand on issues when values are involved ▪ Fosters a work culture that creates a high standard of ethics	▪ Has a history of consistently acting in accordance with the court's high professional standards ▪ Role models courage, fairness, and objectivity; earns the respect of employees and the public through this behavior ▪ Confronts others who's behavior does not support court values ▪ Actively contributes to defining the values and translating values into action
Team-Building ▪ Identifies resources needed for team to be successful ▪ Communicates the mission of the organization for the team's use in setting and prioritising their goals ▪ Encourages staff to achieve goals ▪ Understands the full extent of the team's capabilities and ensures the needs of the team are met by obtaining needed resources and information ▪ Makes an effort to follow through on commitments to the team ▪ Distinguishes between team and individual problems and issues ▪ Is an effective team member	▪ Fosters an atmosphere of teamwork and encourages going above and beyond to reach established goals ▪ Balances needs of individual with needs of team ▪ Creates an environment that motivates others and builds morale ▪ Consistently follows through on commitments to the team ▪ Facilitates team and individual development needed for high performance ▪ Demonstrates commitment to teamwork ethic	▪ Regularly acts as an effective role model for attitude, teamwork, and ability to get the job done ▪ Fosters and demonstrates effective shared leadership models ▪ Consistently develops facilitates and maintains cooperative working relationships across organization ▪ Seeks and creates opportunities to use cross-functional teams to identify and address organizational issues
Conflict management ▪ Generates a non-threatening environment to encourage a fair exchange of perspectives ▪ Values a diversity of ideas ▪ Approaches potentially contentious situations with an even-handed approach ▪ Allows others their voice and ensures that all participants are heard ▪ Recognizes positive potential inherent in conflict and disagreement	▪ Applies decision-making and communication techniques appropriately to achieve maximum buy-in ▪ Works with parties to identify/define underlying interests and values ▪ Uses positive and constructive techniques to look for mutually beneficial solutions Finds the appropriate alternative, areas of mutual agreement, or appropriate middle ground ▪ Ensures that whatever solution is chosen, the court's best interests are protected	▪ Predicts areas of potential conflict and proactively implements strategies to constructively address ▪ Uses a variety of conflict resolution styles and approaches to minimize negative impact on the organization ▪ Identifies, creates and acts on opportunities to build collaborative relationships to proactively reduce

(Sample Definitions Document Prepared by Pilot Court)

BUSINESS ACUMEN - critical elements for entry-level middle managers Technology management Financial management	The ability to **acquire and administer human, financial, material, and information resources** in a manner that instils public trust and accomplishes the mission of the judicial branch and the local court, and to **use new technology to enhance decision-making and public service delivery**	Rating: Performing

Developing	Performing	High Performing
Technology management ▪ Understands impact of technological changes on the organization ▪ Works with Staff to insure that existing technology is used effectively ▪ Identifies training and other user needs related to the use of technology in the workplace	▪ Uses efficient and effective approaches to integrate technology into the workplace to improve service delivery and productivity ▪ Works with staff to effectively implement new technology	▪ Develops strategies using new technologies to improve the organization's effectiveness ▪ Uses technology to enhance decision-making ▪ Explores technological solutions or approaches to address key strategic issues (e.g. expanded service delivery, knowledg3e management, customer help programs, etc)
Financial management ▪ Demonstrates basic understanding budget and procurement processes ▪ Operates successfully within given budget constraints ▪ Responds appropriately when asked to justify an expenditure or predict cost of requested goods or services	▪ Demonstrates broad understanding of budget and financial processes ▪ Administers and tracks budget allocations and spending within assigned program area ▪ Prepares and justifies requests for goods and services relative to operational unit ▪ Manages procurement and contracting processes relative to work in unit	▪ Uses cost-benefit/ROI thinking to set spending priorities ▪ Monitors expenditures in support of multiple programs or policies ▪ Executes broad budget decisions made in other parts of the organization ▪ Forecasts budget expenditures, potential shortfalls and contingency measures ▪ Designs and implements effective and efficient budget processes across work unit

(Sample Definitions Document Prepared by Pilot Court)

LEADING CHANGE -- critical elements for entry-level middle managers Creativity & Innovation Service Motivation Strategic Thinking	*The ability to __develop and implement an organizational vision__ that integrates key judicial branch and local court goals, priorities, values, and other factors. Inherent to it is the ability to __balance change and continuity__-to continually strive to __improve customer service and program performance__ within the basic branch of Government framework, to __create a work environment that encourages creative thinking__ and to __maintain focus, intensity, and persistence, even under adversity__.* .	Rating: Performing

Developing	Performing	High Performing
Creativity & Innovation ▪ Encourages new ideas and approaches to work in the unit ▪ Develops new insights into situations	▪ Applies innovative solutions to make organizational improvements ▪ Creates a work environment that stimulates and rewards creative thinking and innovation	▪ Designs or implements new or cutting edge programs or processes ▪ Encourages and supports appropriate risk-taking
Service Motivation ▪ Demonstrates a commitment to public service ▪ Influences others toward a spirit of service	▪ Sustains a work environment that recognizes the link between service delivery and high performance ▪ Enables others to acquire the tools and support they need to perform well	▪ Creates and maintains an organizational culture that encourages others to provide the highest quality of service as an essential element of high performance ▪ Enables units and individuals to make meaningful contributions to the accomplishment of the organization's mission
Strategic Thinking ▪ Develops objectives & sets priorities that align with strategic plan & goals	▪ Formulates effective operational strategies that are consistent with the organizations goals and objectives	▪ Examines broad policy and program issues with a long term perspective ▪ Develops long term strategies and approaches to create and optimize opportunities for organizational success ▪ Anticipates changes in the operating environment and acts proactively to minimize potential threats and gain strategic advantage

(Sample Definitions Document Prepared by Pilot Court)

RESULTS DRIVEN- critical elements for entry-level middle managers Technical Credibility/Knowledge Accountability Problem-Solving	The ability to stress **accountability** and **continuous improvement**, to **make timely and effective decisions**, and to **produce results through strategic planning** and the implementation and evaluation of programs and policies.	Rating: Performing
Developing	**Performing**	**High Performing**
Technical Credibility/knowledge ▪ Evidences understanding of court administration and judicial process. ▪ Demonstrates some knowledge of state government procedures ▪ Understands the value of being familiar with other agencies and state government pressures / needs	▪ Applies knowledge of court administration and process to solving intermediate problems or creation of new methodologies ▪ Maintains awareness of judicial events and news and contributes to the development of needed policies or programs ▪ Utilizes court knowledge to enhance administrative effectiveness	▪ Demonstrates an understanding of specific court concepts integral to state judicial service by creating new methodologies and sharing knowledge with customers and colleagues ▪ Develops new policies and programs in anticipation of court or public need ▪ Recognized for capitalizing on technical expertise
Accountability ▪ Is able to use established controls to maintain the integrity of the organization ▪ Holds self and others accountable for adhering to rules and meeting responsibilities	▪ Can be relied upon to ensure that projects within area of responsibility are finished on time and within budget. ▪ Is able to identify key desired outcomes and evaluate plans to achieve them ▪ Develops and maintains controls within work unit to ensure that quality end-products are received and customer service needs are met.	▪ Develops and maintains controls that ensure the integrity of the organization and effective delivery of products and services across work units ▪ Monitors and evaluates implementation plans, focuses on results and measurement of outcome ▪ Makes timely and appropriate interventions to ensure desired results are achieved
Problem-Solving ▪ Correctly identifies relevant issues ▪ Distinguishes individual performance problems from organizational issues ▪ Surfaces issues in a timely and appropriate manner ▪ Identifies stakeholders	▪ Is able to identify and analyze problems individually or as a part of a group process ▪ Is able to gather appropriate information effectively ▪ Can distinguish between relevant & irrelevant information to make logical decisions ▪ Considers multiple solutions to complex problem, correctly identifying implications of options	▪ Can work across functional lines to identify & analyze problems and effectively implement solutions ▪ Use a variety of group and individual problem-solving tools ▪ Correctly identifies systemic problems and works to achieve systemic solutions ▪ Shares lessons learned from problems solved and not solved; incorporates learning into organizational fund of knowledge

BUILDING COALITIONS / COMMUNICATIONS -- critical elements for entry-level middle managers Influencing/negotiating Oral & Written Communication Partnering	The ability to **explain, advocate, and express facts and ideas in a convincing manner**, and **negotiate with individuals and groups** internally and externally. It also involves the ability to **develop an expansive professional network** with other organizations, and to **identify the internal and external politics** that impact the work of the organization.	Rating: Performing

Developing	Performing	High Performing
Influencing/Negotiating ▪ Understands when a situation calls for influencing others ▪ Confidently uses direct persuasion and ration argument to excite and compel people into action ▪ Offers several different data sources to persuade others of the merit in a proposed course of action	▪ Uses complex set of facts to explain the logic behind choices ▪ Incorporates consequences or risks into a discussion, approach, or argument ▪ Recognizes the interests and needs of others and adapts methods and strategies of communication accordingly ▪ Is able to build consensus through give and take and recognizing underlying interests ▪ Facilitates "win-win" outcomes ▪ Collaborates effectively across component or functional boundaries	▪ Anticipates and prepares for how others will react based on their particular concerns and issues ▪ Aligns with key decision-makers to develop broader support and influence outcome of an event ▪ Establishes coalitions and alliances to influence a course of action ▪ Is able to gain the cooperation of diverse and conflicting constituencies to achieve organizational goals & objectives
Oral & Written Communication ▪ In speaking and writing, articulates ideas, concepts, or a position so that others can readily understand the message ▪ Communicates easily, with a clear sense of audience and appropriate tone ▪ Simplifies issues with analogies, stories, or graphical presentation ▪ Blends technical and non-technical information easily and smoothly	▪ Articulates complex issues in a concise, readily understood manner ▪ Fosters two-way communication by listening to feedback, asking clarifying questions, and paraphrasing understanding ▪ Uses active listening and addresses specific points of confusion on response to others ▪ Communicates frequently and identifies / uses several explanations to convey an idea to a diverse group or to overcome resistance	: ▪ Encourages and helps others communicate more effectively ▪ Improves communication beyond the realm of one's own work group ▪ Contextualizes the message to ensure a full understanding by others
Partnering ▪ Develops networks ▪ Identifies stakeholders & seeks input ▪ Finds common ground with others in the organization ▪ Encourages collaboration within unit	▪ Builds alliances across the organization ▪ Engages in cross-functional activities ▪ Collaborates across functional boundaries ▪ Utilizes contacts to build support for ideas	▪ Seeks new avenues for internal collaboration across organizational boundaries ▪ Builds external alliances and support base ▪ Works with diverse and conflicting constituencies to further the work of the organization

Developmental Planning & Feedback form

Candidate Name:

Date:

Location/Division:

Manager Name:

Current Position Level:

County:

Court Priorities

List the organizational goals and/or court objectives that you will be accountable for in the upcoming year (e.g., special project, cost, service).

Court Objective 1:

Court Objective 2:

Court Objective 3:

Others:

Development Goals

List below the goals that will advance your career and professional development. These are skills or capabilities that you want to improve. They should fit with your organizational and career goals above and also be of personal interest to you. Example goals might be: leading a change project team, developing better strategic planning skills, learning a new technology.

Developmental Goal 1:

Developmental Goal 2:

Developmental Goal 3:

Others:

Career Goals

List below the career goals that you have interest in pursuing and reference the minimum requirements needed to be achieve a number of positions-of-interest. Think broadly about positions across the court, within the judicial branch overall, and in different geographies of interest. Don't think narrowly about the next position you may want to achieve, but consider your overall career direction instead.

Career Goal 1:

Career Goal 2:

Developmental Plan

Indicate below the development actions that will be undertaken (e.g., lead a team to improve facilities management), the key resources (e.g., support from Finance) required to achieve this goal, the expected completion date. Finally, indicate progress made to date with any feedback or change in the development action if needed.

Specific Development Action	Targeted Completion Date	Developmental Progress/Outcomes
Employee Action: Resources:		
Employee Action: Resources:		
Employee Action: Resources:		
Employee Action: Resources:		

Signatures

Employee Comments:

Date:

Signature: ______________________________

Manager Comments:

Date:

Signature: ______________________________

Candidate Profile -

Hire Date:

Interest in Relocation: Yes ☐ Maybe ☐ No ☐

Role Preferences:

Relocation Explanation:

Job Information

Position:

Division:

Location:

Supervisor:

Judicial Branch Experience

Position Title	Start Date	End Date	Division	Location

External Experience

Position Title	Start Date	End Date	Division	Location

Candidate Profile -

Higher Education

Start Date	End Date	Degree	Major	Institution	Completed
					☐

Professional Credentials

Date	Description	Granted By

Language & Technical Skill

Non-English Language

Reading / Writing Proficiency

Limited ☐ Moderate ☐ Fluent ☐

Speaking Proficiency

Limited ☐ Moderate ☐ Fluent ☐

Other Skill

Proficiency Level

Limited ☐ Moderate ☐ Mastery ☐

Development History

Type	Development Activity	Date

SP&M Readiness Assessment for:

Date:
Position:
Location:

Potential Candidate For:

Position: | Division & County: | Readiness Level (See Scale Below):

Ready Now
Ready Now
Ready Now

Ready Now	Ready Later	Hi-Po Requires Development	Hi-Pro	Unslated
Ready for promotion in 0-12 months	Ready for promotion after further development (1-2 years)	High potential who requires development before readiness can be determined (2+ years)	Highly professional employee to retain in current or lateral position but not slated for promotion	Not aptly suited for succession planning process

Performance Summary

Rating | Rating Date | Rater: | Strengths: | Development Needs:

Strengths:
1.
2.
3.

Development Needs:
1.
2.
3.

Risk of Separation

High =	***Medium =***	***Low =***
At risk of leaving within the next 12 months due to clear and known factors	May be at risk of leaving within the next 12 months, but no known factors to cause separation	Generally not at risk of leaving

Risk of Separation: High Explanation:

Talent Review Summary

Talent Review Meeting Date/Time:
Court/CEO:
Session Facilitator:
Session Coordinator:

Candidate Summary

Candidates for Review:	Readiness Level:	In-scope Positions:
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	
	Ready Now	

[Attach detailed Readiness Assessment Forms for all candidate here]

SP&M Readiness Assessment for:

Date:
Position:
Location:

Potential Candidate For:

Position:

Division & County:

Readiness Level:
Ready Now
Ready Now
Ready Now

Rating Scale:

Ready Now Ready for promotion in 0-12 months	Ready Later Ready for promotion after further development (1-2 years)	Hi-Po Requires Development High potential who requires development before readiness can be determined (2+ years)	Hi-Pro Highly professional employee to retain in current or lateral position but not slated for promotion	Unslated Not aptly suited for succession planning process

Performance Summary

Rating

Rating Date

Rater:

Strengths:
2.
4.
5.

Development Needs:
3.
4.
4.

Risk of Separation

Risk of Separation: High

Explanation:

Rating Scale:

High = At risk of leaving within the next 12 months due to clear and known factors	Medium = May be at risk of leaving within the next 12 months, but no known factors to cause separation	Low = Generally not at risk of leaving

[Court Name] Succession Planning & Management
Candidate Summary Sheet

SP&M Coordinator: ______________

ID	Candidate Name	Manager	Profile Information			Readiness Summary			Developmenta
			Current Job Information	Overall Experience	Overall Preferences	In-scope Positions	Readiness Level	Performance Summary	Developmenta Goals
1	Complete	Complete							
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									
19									
20									
21									

* - any relevant notations regarding the slate of candidates

Questions/ Concerns/ Issues

For assistance at any time, please do not hesitate to contact [fill in relevant contact name].